

**Award**  
**FINRA Office of Dispute Resolution**

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In the Matter of the Arbitration Between:

Claimant

████████████████████

Case Number: ██████████

vs.

Respondent

Miller Johnson Steichen Kinnard, Inc.

Hearing Site: Minneapolis, Minnesota

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Nature of the Dispute: Associated Person vs. Terminated Member

**REPRESENTATION OF PARTIES**

For Claimant ██████████ (“Claimant”): Erica J. Harris, Esq. and Docthor Kennedy, Esq., AdvisorLaw, LLC, Broomfield, Colorado.

Respondent Miller Johnson Steichen Kinnard, Inc. (“Respondent”) did not appear.

**CASE INFORMATION**

Statement of Claim filed on or about: February 5, 2018.  
Claimant signed the Submission Agreement: February 5, 2018.

Respondent did not file Statement of Answer or a properly executed Submission Agreement.

**CASE SUMMARY**

In the Statement of Claim, Claimant asserted a claim seeking expungement of a customer complaint, Occurrence Number ██████████, from his registration records maintained by the Central Registration Depository (“CRD”).

**RELIEF REQUESTED**

In the Statement of Claim, Claimant requested expungement, compensatory damages in the amount of \$1.00, and any and all other relief that the Arbitrator deems just and equitable.

**OTHER ISSUES CONSIDERED AND DECIDED**

The Arbitrator acknowledges that he has read the pleadings and other materials filed by the parties.

Respondent did not file with FINRA Office of Dispute Resolution a properly executed Submission Agreement, but is required to submit to arbitration pursuant to the Code of Arbitration Procedure (“Code”) and is bound by the determination of the Arbitrator on all issues submitted.

The Arbitrator conducted a recorded, telephonic hearing on August 24, 2018, for the presentation of testimony and evidence on Claimant’s request for expungement. Respondent did not participate in the expungement hearing. The customers did not participate in the expungement hearing.

On the record at the expungement hearing, Claimant withdrew his request for \$1.00 in compensatory damages.

In his Order dated August 24, 2018, the Arbitrator requested additional documentation supporting Claimant’s allegations. On or about August 30, 2018, Claimant filed the requested documentation for the Arbitrator’s consideration.

### **AWARD**

After considering the pleadings, the testimony and evidence presented at the hearing, and the post-hearing submission, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. Claimant’s request for expungement of his CRD records is denied.
2. Any and all claims for relief not specifically addressed herein are denied.

### **FEES**

Pursuant to the Code, the following fees are assessed:

#### **Filing Fees**

FINRA Office of Dispute Resolution assessed a filing fee\* for each claim:

Initial Claim Filing Fee	= \$ 50.00
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*\*The filing fee is made up of a non-refundable and a refundable portion.*

#### **Member Fees**

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated person at the time of the events giving rise to the dispute. Accordingly, as a party, Respondent is assessed the following:

Member Surcharge	= \$ 150.00
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**ARBITRATOR**

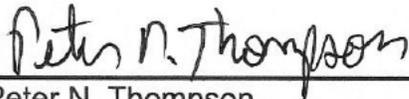
Peter N. Thompson

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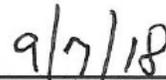
Sole Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument, which is my award.

**Arbitrator's Signature**



\_\_\_\_\_  
Peter N. Thompson  
Sole Public Arbitrator



\_\_\_\_\_  
Signature Date

September 7, 2018

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Date of Service (For FINRA Office of Dispute Resolution office use only)